

**PATENT**

**(Docket No. IN-5195DIV-3)**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Walter H. OHRBOM et al.

Serial No.: Herewith

Filed: October 28, 2003

Group Art Unit:

Examiner:

For: METHOD OF MAKING A CURABLE COATING COMPOSITION CONTAINING A CARBAMATE FUNCTIONAL REACTIVE ADDITIVE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

☐ An International Search Report has not been provided yet. The Search Report and References will be submitted when received

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

**COPIES PROVIDED:**

☐ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

☐ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, patent applications, and publications as indicated below:

☒ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. 09/464,309, 10/055,515 and 10/055,516, filed on December 15, 1999 and January 23, 2002. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

Information Disclosure Statement  
Page 2

- ☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:
- ☐ Application Serial No. [ ] was published as Publication No. [ ]. The Bibliographic information for this publication is correct, but the abstract, specification, and claims are not those of [ ]. Therefore, the bibliographic page for Publication No. [ ] is provided with a copy of the specification as filed for [ ].

**FOREIGN LANGUAGE DOCUMENTS**

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☐ The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references.
- ☐ English language abstract for the following non-English references are enclosed.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☐ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

- ☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

Information Disclosure Statement  
Page 3

- ☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation **Deposit Account No. 23-3425** for any additional fees due hereunder.

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FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. docket No. IN-5195 DIV-3

LIST OF ART CITED BY APPLICANT  
(Use sever of sheets if necessary)

In re Application of: OHRBOM et al.

Serial No.:

Filed: October 28, 2003

## U.S. PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,872,195	02/16/99	GREEN et al.	525	481	07/01/97
	AB	5,115,015	05/19/92	Richey Jr. et al	524	507	04/04/91
	AC	5,866,259	02/02/99	Harris et al	428	424.4	06/30/97
	AD	4,484,994	11/27/84	Jacobs III et al.	204	181	02/17/84
	AE	4,758,632	07/19/88	Parekh et al.	525	383	02/06/85
	AF	4,520,167	05/28/85	Blank et al.	525	131	02/17/84
	AG	5,639,828	06/1997	Briggs et al.	525	208	
	AH	5,872,195	02/1999	Green et al.	525	481	
	AI						
	AJ						
	AK						

## FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES   NO	
	AL	0 680 988 A	08.11.95	EP	C08G	71/00	X	
	AM	WO 00 37573A	29.06.00	EP	C09D	5/44	X	
	AN	WO 00 37572A	29.06.00	EP	C09D	5/44	X	
	AO	0767 226 A	09.04.97	EP	C09D	201/00	X	
	AP	0 780 455 A	25.06.97	EP	C09D	201/06	X	

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	International Search Report for PCT/US 00/27598
	AS	International Search Report for PCT/US 00/28047
	AT	International Search Report for PCT/US 00/27128

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

FORM PTO-1449  
(MODIFIED)US DEPARTMENT OF COMMERCE  
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	AH						
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	AK						

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Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES   NO	
	AL	0 889 101 A2	07.01.99	EP	C09D	5/44	X	
	AM							
	AN							
	AO							
	AP							

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	International Search Report for PCT/US 00/28034
	AS	
	AT	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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